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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

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In re application of: Fogelman et al.

Attorney Docket No.: UCLAP014 /  
2004-682-2

Patent No.: 7,148,197

Issued: December 12, 2006

Title: ORALLY ADMINISTERED SMALL  
PEPTIDES SYNERGIZE STATIN ACTIVITY

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**CERTIFICATE OF EFS-WEB TRANSMISSION**

I hereby certify that this correspondence is being transmitted electronically through EFS-WEB to the Commissioner for Patents, P.O. Box 1450 Alexandria, VA 22313-1450 on June 3, 2010.

Signed: /Swapnali Joshi/  
Swapnali Joshi

**REQUEST FOR CERTIFICATE OF CORRECTION  
OF APPLICANT'S MISTAKE  
(35 U.S.C §255, 37 C.F.R. §1.323)**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450  
Attn: Certificate of Correction

Dear Sir:

Attached is Form PTO-1050 (Certificate of Correction) at least one copy of which is suitable for printing.

Mistakes of a clerical or typographical nature, or minor in character appear in the above-referenced patent; however, the mistakes occurred in good faith. The correction introduces no new matter nor requires reexamination.

The errors together with the exact page and line number where the errors appear in the application file are as follows:

**On the Cover Page:**

1. Column 1, Field (73), entitled "Assignee", please change the following:

"The University of Alabama Research Foundation, Birmingham, AL (US)" to -- The UAB Research Foundation, Birmingham, AL (US) --

This mistake occurred because the second Assignee, The UAB Research Foundation, Birmingham, AL (US), was incorrectly entered on the Issue Fee Transmittal filed on June 6, 2006 in this case. An Assignment to The UAB Research Foundation that was executed on

December 12, 2003 has the correct Assignee name. Accordingly, this Assignment was clearly executed before issuance of the above patent on December 12, 2006. A correction to the Notice of Recordation was also recorded in the U.S. Patent and Trademark Office on February 19, 2010 at Reel 023965, Frame 0345.

**On the Cover Page:**

2. Column 1, Field (75), entitled "Inventors", please change the following:

"Gattadahalli M Anantharamaiah, Birmingham, CA (US)" to -- Gattadahalli M Anantharamaiah, Birmingham, AL (US) --

This appears correctly on page 1 of the application as filed on August 26, 2003.

**SPECIFICATION:**

1. Column 1, line 15-20, change "This work was supported by United States Public Health Service and National Heart, Lung, and Blood Institute Grants HL30568 and HL34343. The Government of the United States of America may have certain rights in this invention." to -- This invention was made with Government support of Grant No. HL30568 and HL34343 awarded by the National Institutes of Health. The Government has certain rights in this invention. --.

This mistake occurred because the support clause does not adhere to the requirements outlined by the Bayh-Dole Act and its implementing regulations.

Please charge the amount of \$100.00 in accordance with 37 CFR § 1.20(a), or any additional fees required to facilitate filing the enclosed Certificate of Correction to Deposit Account No. 504480 (Order No. UCLAP014).

Respectfully submitted,  
Weaver Austin Villeneuve & Sampson LLP

/Tom Hunter/

Tom Hunter  
Registration No. 38,498

P.O. Box 70250  
Oakland, CA 94612-0250

## UNITED STATES PATENT AND TRADEMARK OFFICE CERTIFICATE OF CORRECTION

PATENT NO. : 7,148,197 B2

Page 1 of 1

APPLICATION NO.: : 10/649,378

ISSUE DATE : December 12, 2006

INVENTOR(S) : Fogelman et al.

It is certified that an error appears or errors appear in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

**On the Cover Page:**

1. Column 1, Field (73), change "The University of Alabama Research Foundation, Birmingham, AL (US)" to -- The UAB Research Foundation, Birmingham, AL (US) --
2. Column 1, Field (75), change "Gattadahalli M Anantharamaiah, Birmingham, CA (US)" to -- Gattadahalli M Anantharamaiah, Birmingham, AL (US) --

**In the Specification:**

1. Column 1, line 15-20, change "This work was supported by United States Public Health Service and National Heart, Lung, and Blood Institute Grants HL30568 and HL34343. The Government of the United States of America may have certain rights in this invention." to -- This invention was made with Government support of Grant No. HL30568 and HL34343 awarded by the National Institutes of Health. The Government has certain rights in this invention. --

MAILING ADDRESS OF SENDER:

PATENT No.: 7,148,197 B2

**Tom Hunter**

WEAVER AUSTIN VILLENEUVE & SAMPSON LLP  
P.O. BOX 70250  
OAKLAND, CA 94612-0250

No. of Additional Copies: 0

This collection of information is required by 37 CFR 1.322, 1.323, and 1.324. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1.0 hour to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: **Attention Certificate of Corrections Branch, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

## ASSIGNMENT

U.C. Case No. 2000-462-6  
Attorney Docket No. 407T-911270US

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

1. Gattadahalli M. Anantharamaiah

hereby sells, assigns and transfers to ASSIGNEE, The UAB Research Foundation, an Alabama Corporation, having a place of business located at 701 South 20<sup>th</sup> Street, Suite 1120G, Birmingham, Alabama 35291-0111, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

TITLE: ORALLY ADMINISTERED SMALL PEPTIDES SYNERGIZE STATIN ACTIVITY

and which is found in

- (a)  U.S. provisional application filed herewith and listing the above named persons as inventors
- (b)  U.S. patent application filed herewith and listing the above named persons as inventors
- (c)  U.S. application serial no. 10/649,378, filed on August 25, 2003
- (d)  U.S. Patent No.: , issued

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

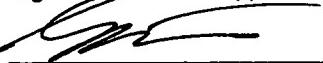
ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

12<sup>th</sup> day of December, 2003

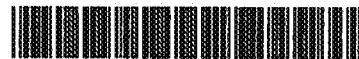
Signature of Inventor(s)

  
Gattadahalli M. Anantharamaiah

WEAVER AUSTIN VILLENEUVE SAMPSON LLP COMPANY:P.O. 1 70250



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND  
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

FEBRUARY 22, 2010

\*501097838A\*

PTAS

WEAVER AUSTIN VILLENEUVE & SAMPSON LLP  
P.O. BOX 70250  
OAKLAND, CA 94612-0250UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 571-272-3350. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, MAIL STOP: ASSIGNMENT SERVICES BRANCH, P.O. BOX 1450, ALEXANDRIA, VA 22313.

RECORDATION DATE: 02/19/2010

REEL/FRAME: 023965/0345

NUMBER OF PAGES: 4

BRIEF: CORRECTIVE ASSIGNMENT TO CORRECT THE ASSIGNEE NAME FROM "THE UNIVERSITY OF ALABAMA RESEARCH FOUNDATION" TO "THE UAB RESEARCH FOUNDATION" PREVIOUSLY RECORDED ON REEL 015388 FRAME 0568.  
ASSIGNOR(S) HEREBY CONFIRMS THE ASSIGNMENT OF ASSIGNORS INTEREST.

DOCKET NUMBER: UCLAP014

ASSIGNOR:

ANANTHARAMAIAH, GATTADAHALLI M.

DOC DATE: 12/12/2003

ASSIGNEE:

THE UAB RESEARCH FOUNDATION  
701 20TH STREET SOUTH  
AB 770  
BIRMINGHAM, ALABAMA 35294-0107

SERIAL NUMBER: 10649378

FILING DATE: 08/26/2003

PATENT NUMBER: 7148197

ISSUE DATE: 12/12/2006

TITLE: ORALLY ADMINISTERED SMALL PEPTIDES SYNERGIZE STATIN ACTIVITY

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WEAVER AUSTIN VILLENEUVE SAMPSON LLP COMPANY:P.O. E 70250

023965/0345 PAGE 2

MARY BENTON, EXAMINER  
ASSIGNMENT SERVICES BRANCH  
PUBLIC RECORDS DIVISION

WEAVER AUSTIN VILLENEUVE &amp; SAMPSON LLP COMPANY:P.O. E 70250

**PATENT ASSIGNMENT**Electronic Version v1.1  
Stylesheet Version v1.102/19/2010  
501097838

SUBMISSION TYPE:	CORRECTIVE ASSIGNMENT				
NATURE OF CONVEYANCE:	Corrective Assignment to correct the Assignee Name from "The University of Alabama Research Foundation" to "The UAB Research Foundation" previously recorded on Reel 015388 Frame 0568. Assignor(s) hereby confirms the ASSIGNMENT OF ASSIGNORS INTEREST.				
<b>CONVEYING PARTY DATA</b>					
<table border="1"><thead><tr><th>Name</th><th>Execution Date</th></tr></thead><tbody><tr><td>Galtadahalli M. Anantharamaiah</td><td>12/12/2003</td></tr></tbody></table>		Name	Execution Date	Galtadahalli M. Anantharamaiah	12/12/2003
Name	Execution Date				
Galtadahalli M. Anantharamaiah	12/12/2003				

**RECEIVING PARTY DATA**

Name:	The UAB Research Foundation
Street Address:	701 20th Street South
Internal Address:	AB 770
City:	Birmingham
State/Country:	ALABAMA
Postal Code:	35294-0107

**PROPERTY NUMBERS Total: 1**

Property Type	Number
Application Number:	10649378

**CORRESPONDENCE DATA**

Fax Number: (510)663-0920  
*Correspondence will be sent via US Mail when the fax attempt is unsuccessful.*  
Phone: 510-663-1100  
Email: sjoshi@wavsip.com  
Correspondent Name: Weaver Austin Villeneuve & Sampson LLP  
Address Line 1: P.O. BOX 70250  
Address Line 4: Oakland, CALIFORNIA 94612-0250

ATTORNEY DOCKET NUMBER:	UCLAP014
NAME OF SUBMITTER:	Tom Hunter

Total Attachments: 2

USPTO

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WEAVER AUSTIN VILLENEUVE SAMPSON LLP COMPANY:P.O. 70250

**UNITED STATES PATENT AND  
TRADEMARK OFFICE****Facsimile Transmission**

To: Name: WEAVER AUSTIN VILLENEUVE & SAMPSON LLP  
Company: P.O. BOX 70250  
Fax Number: 15106630920  
Voice Phone:

From: Name: ASSIGNMENT SERVICES BRANCH  
Voice Phone: 571-272-3350

37 C.F.R. 1.6 sets forth the types of correspondence that can be communicated to the Patent and Trademark Office via facsimile transmissions. Applicants are advised to use the certificate of facsimile transmission procedures when submitting a reply to a non-final or final Office action by facsimile (37 CFR 1.8(a)).

**Fax Notes:**

Pg#	Description
1	Cover Page
2	217.TXT
4	Document 1, Batch 1947148

**USPTO ASSIGNMENT SYSTEM PROCESSING**

Date and time of transmission: Monday, February 22, 2010 6:49:06 PM  
Number of pages including this cover sheet: 05

